

**IN THE UNITED STATES DISTRICT COURT FOR THE  
EASTERN DISTRICT OF PENNSYLVANIA**

ROBERT W. MAUTHE, M.D., P.C.,  
individually and as the representatives of a  
class of similarly situated persons,

Plaintiff,

v.

ITG, INC.; ITG INVESTMENT  
RESEARCH, INC., and M. SCIENCE LLC,

Defendants.

Case No. 5:18-cv-01968-CFK

Honorable Chad F. Kenney

**AGREED MOTION FOR PRELIMINARY APPROVAL  
OF CLASS ACTION SETTLEMENT AND NOTICE TO THE CLASS**

Plaintiff, Robert W. Mauthe, M.D., P.C. (“Plaintiff”), on behalf of itself and a proposed settlement class of similarly-situated persons (identified herein as the “Settlement Class”), respectfully requests, pursuant to Fed. R. Civ. P. 23 (e), that the Court enter an order (1) preliminarily approving the parties’ proposed class action Settlement Agreement (the “Agreement”) attached to Plaintiff’s supporting brief as Exhibit A, (2) approving the form of Class Notice attached as Exhibit 1 to the Agreement and its dissemination to the Settlement Class by both U.S. Mail and by facsimile, and (3) setting dates for opt-outs, objections, and a fairness hearing.

As detailed in the accompanying memorandum, Plaintiff believes the Court will likely be able to approve the settlement after notice to the Settlement Class and a final approval hearing.

Dated: July 21, 2021

Respectfully submitted,

Robert W. Mauthe, M.D., P.C., individually  
and as the representative of a class of similarly-  
situated persons

By: /s/ Phillip A. Bock  
One of their attorneys

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**CERTIFICATE OF E-FILING AND SERVICE**

I hereby certify that on July 21, 2021, I electronically filed the foregoing using the Court's CM/ECF System, which will send notification of such filing to all counsel of record.

/s/ Phillip A. Bock